

COMMISSION ON TECHNOLOGY
CHECKLIST
FOR
REVIEW OF ELECTRONIC FILING PILOT PROPOSAL

This is a form that summarizes your Electronic Filing Pilot for review by the COT. It is used in conjunction with a demonstration and/or other presentation materials in requesting the approval of the COT to proceed with an Electronic Filing Pilot in your court.

Electronic Filing is the acceptance of court case documents in electronic rather than paper form. Electronic documents can come from other agencies, attorneys, litigants or from within the court itself. If you are receiving and/or storing electronic documents in lieu of paper documents, then your court should prepare this document as part of receiving permission under the administrative order adopting Court Rule 124 permitting electronic filing in Arizona courts.

The Technical Advisory Council, a subcommittee of the Commission on Technology, encourages you to contact them for advice and assistance in developing your system. Several members were involved in the rule development recommendations; they would be happy to answer your questions.

Directions:

In the *Item* column, the headings for the questions (e.g. *Rule 124 (a)* or *VIBI CMS interface*) refer to Rule 124 or the associated *Administrative Requirements for Electronic Filing and Management of Court Documents*. You may wish to refer to them for more information.

Please enter an X in the *Check for YES* column to respond affirmatively to the question. A blank is a *no* response.

In the *Comment or Exception* column, provide additional information as follows:

- Any exception information you wish to provide. This might include, for instance, the date in the efilng plan that a particular item is scheduled to be accomplished but is not yet an affirmative response. For a pilot, every item listed may not be required at inception.
- Any additional information you wish to provide.
- Additional detail that is requested in the item.
- URL's or other references to your published information.
- A note as to any attachments you provide, (e.g. your efilng plan, security procedures, your court's administrative order adopting efilng, documentation of municipal governing body's agreement, etc.) that may not be published in a publicly accessible form.

ELECTRONIC FILING PILOT CHECKLIST

FOR _____

Prepared by: _____ Date: _____

Pilot Description (Please provide a description of the scope and objectives of the pilot.)

	ITEM	Check for YES	Comment or Exception
1.	<i>Rule 124 (a)</i> Has the Presiding or Chief Judge, and, if applicable, the municipal governing body agreed to permit efilg.		
2.	<i>Rule 124 (b)(1)</i> Is an efilg plan developed, reviewed and approved? List the members of the affected legal and business community that have been involved.		
3.	<i>Rule 124 (b)(2)</i> Do the procedures ensure document availability, security & integrity and authentication?		
4.	<i>Rule 124 (c)</i> Is a document deemed filed based on when transmission begins?		
5.	Are there any paper follow-up or additional copies requirements? If yes, why and for how long?		
6.	<i>Rule 124 (d)</i> Is there a documented consent process for court delivery of electronic documents? Where is it published?		
7.	<i>Rule 124 (e)</i> Is there a documented electronic service delivery process? Where is it published?		
8.	<i>IIIA – Provisions to preserve content and format:</i> Are the document format requirements documented and published? List accepted formats.		
9.	Is there a documented and published process for handling submissions that are not in the approved formats?		
10.	<i>IIID – Graphics and multimedia</i> Do you have a published policy about whether you accept graphics and multimedia files?		
11.	Are graphics and multimedia files accepted? Note what formats are allowed.		

	ITEM	Check for YES	Comment or Exception
12.	<i>E. Email</i> Does email play a role in your efilng system? Explain.		
13.	<i>IIIF – Fill-in forms</i> Are there fill-in forms in your efilng system? List them.		
14.	<i>IVA Authentication of sender</i> Does your efilng system authenticate the submitter of documents or data? Please explain.		
15.	<i>IVB1 – Document Authentication</i> Does your efilng system detect transmission or other document alterations? How?		
16.	<i>IVB2a – Document Maintenance</i> Do you have written procedures for assuring document integrity? Attach (security related documents will not be made public).		
17.	Do you have security in place to protect documents from hackers, either internal or external (e.g. firewalls, audit logging)? Provide a security schematic.		
18.	<i>IVB2b Virus checking</i> Do all documents and efilng transmissions get scanned for viruses? What product?		
19.	<i>IVB2c Alternate copy</i> Are there procedures to assure an alternate document copy is available? Explain.		
20.	<i>IVB2d Backup Procedures</i> Are there documented backup procedures with appropriate logs and periodic verifications?		
21.	Are backups stored off-site? Where		
22.	Are contingency plans and procedures for system downtime developed and published?		
23.	<i>IVB2e Media standards</i> Is your primary and alternate electronic copy stored on media conforming to ANSI/AIIM standards? Note brand selected and appropriate ANSI/AIIM standards followed.		
24.	<i>IVB2f Archive media</i> Is the archiving media non-reusable?		
25.	Are the archiving procedures documented including appropriate logging and periodic media refreshing?		

	ITEM	Check for YES	Comment or Exception
26.	Does your operations plan contain provisions for the destruction of records in accordance with the approved retention schedule?		
27.	<i>IVC Confidential documents</i> Are confidential or sealed documents accepted? How security assured?		
28.	<i>VA Internet filing and costs</i> Is the efilng system available via the Internet?		
29.	Does your solution require any kind of licensed software to be used by external users? List.		
30.	Are the minimum hardware and software requirements for external efilng users published? Summarize them here.		
31.	<i>VB Communications protocols</i> Are the protocols industry-standard and non-proprietary? List.		
32.	<i>VC Public Access</i> Is remote access provided? To whom? (Court personnel? Other courts? Attorneys? Litigants? Public?)		
33.	Is public access to electronic documents provided? Explain the process allowing public access to electronic documents with emphasis on accessibility and security?		
34.	<i>VIA Acknowledgement of receipt</i> Is an acknowledgement of receipt provided to the filer?		
35.	<i>VIB1 CMS interface</i> Does the efilng process verify case management information data and codes? List elements from the CMS that are validated.		
36.	Are the data validation and edits for efilng data elements consistent with those for the CMS?		
37.	<i>VIB2 Docketing</i> Does the efilng processing automatically docket to the CMS?		
38.	<i>VIB3 Indexing</i> Does the efilng processing automatically index the document? List indexing elements.		
39.	<i>VIC Document Access</i> Do the efilng system procedures comply with ACJA 1-504 provisions for accessibility and migration?		
40.	<i>VID Efilng Plan</i> Is your efilng plan attached?		
41.	Is the hardware and software requirement for users documented?		
42.	Do you have an electronic document management system in place? Provide product(s) name.		
43.	Is the acquisition and installation plan developed?		
44.	Is the acquisition and installation plan executed?		
45.	Is the testing plan executed?		
46.	Is the training plan for both internal and external users developed? Attach.		
47.	Is the training plan for both internal and external users executed?		
48.	Is the staffing and support plan for both internal and external users of efilng developed? Attach.		

	ITEM	Check for YES	Comment or Exception
49.	Are the efilng staffing and support resources in place? How many FTE's are assigned?		
50.	<i>VIE Published procedures</i> Are the procedures for electronic filing (including procedures, acknowledgement practices and support) published? Please provide location.		
51.	Are any documents besides confidential documents excluded from the efilng process? Explain.		
52.	Does your efilng plan include a phasing in of any excluded documents?		
53.	Can documents be filed at any time? Note the times the system is available for filing.		
54.	Can efilng assistance be obtained at any time? Note the times that support resources are available for assistance.		
55.	Are fees accepted electronically? Explain the process for electronic or manual fee collection, including impact on filing time.		
56.	Have you followed the prescribed project management methodology so you have project documentation of development and implementation activities, issues, changes, resource requirements, etc. to-date?		
57.	Is the electronic filing software vendor-provided? Explain the licensing, ownership and cost provisions and issues if this were to be replicated in another court.		
58.	Are there provisions for the long-term support, maintenance and enhancement of the product in your plan and/or your vendor contract? Explain.		
59.	Have you developed success measures for the pilot? List the success criteria.		
60.	Is there a projected end date for the pilot? What is it?		
61.	Did the project come in on or below budget? Note the budget required to offer efilng with this system/approach by category of personnel & ERE, professional services, travel, equipment & software and other operating.		
62.	Is the operational budget over the next three to five years estimated? Please attach.		

SUBMITTED BY: _____ DATE: _____